

<b>FORM PTO-1449</b>		Attorney Docket: 17209-009		Serial No.: 09/680,771			
<b>INFORMATION DISCLOSURE CITATION</b>		Applicant: Silverman et al.					
		Filing Date: October 6, 2000		Group Art Unit: 3624			
<b>U.S. PATENT DOCUMENTS</b>							
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JW		4336524	Jun, 1982	Levine.			
		4412287	Oct, 1983	Braddcok, III.			
		4674044	Jun, 1987	Kalms et al.			
		4799156	Jan, 1989	Shavit et al.			
		4903201	Feb, 1990	Wagner.			
		4940963	Jul, 1990	Gutman et al.			
		4980826	Dec, 1990	Wagner.			
		5038284	Aug, 1991	Kramer.			
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Examiner Initial		Patent Number	Publication Date	Country	Class	Sub- Class	Translation
JW		0 448 800	Dec, 1990	EP			<input type="checkbox"/> Yes <input type="checkbox"/> No
		95/26005	Sep, 1995	PCT			<input type="checkbox"/> Yes <input type="checkbox"/> No
		96/41293	Dec, 1996	PCT			<input type="checkbox"/> Yes <input type="checkbox"/> No
		0851 701	Jan., 1998	EP			<input type="checkbox"/> Yes <input type="checkbox"/> No
		0820183	Mar, 1994	EP			<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>OTHER DOCUMENTS (Including Author, Title, Date, etc.)</b>							
JW		Abdelrahim, Yasser, et al., "The Securities Industry: A Comparison of the Technologies Used in Open Outcry vs. Electronic Trading", Sep. 24, 1998 < <a href="http://misdb.bpa.arizona.edu/about.mis6...rts/Industry/Security/">http://misdb.bpa.arizona.edu/about.mis6...rts/Industry/Security/</a> >					
JW		Aken, B.R., Kenney, G.Q., IBM Technical Disclosure Bulletin, Dec. 1973, pp. 2330-2338					
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JW		Blades, J.A., IBM Technical Disclosure Bulletin, Dec. 1994, pp. 115-116.					
JW		Boydston, Barbara, "US Marts Ready Handheld Technology", Wall Street Letter, vol. 27, No. 25, Jun. 26, 1995, p. S1.					
JW		Broida, Rick, "Hewlett-Packard OmniGo 120", Home Office Computing, Dec. 1996, p. 122 < <a href="http://www.productreviewnet.com/abstracts/4/4084.htm">http://www.productreviewnet.com/abstracts/4/4084.htm</a> >.					
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gm		5101353	Mar, 1992	Lupien et al.			
		5297031	Mar, 1994	Guterman et al.			
		5313051	May, 1994	Brigida et al.			
		5347477	Sep, 1994	Lee.			
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		5509000	Apr, 1996	Oberlander.			
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<i>Int</i> ↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓		5561446	Oct, 1996	Montlick.			
		5633660	May, 1997	Hansen et al.			
		5655088	Aug, 1997	Midorkawa et al.			
		5684799	Nov, 1997	Bigham et al.			
		5706442	Jan, 1998	Anderson et al.			
		5708780	Jan, 1998	Treese et al.			
		5724106	Mar, 1998	Schindler et al.			
		5758328	May, 1998	Giovannoli.			
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<i>Int</i> ↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓		Currie, W. Scott, "The ISO Link Layer and Above", LANs Explained: A Guide to Local Area Networks, Ellis Horwood Limited, England, 1989, Ch. 11.					
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↓	5774877	Jun, 1998	Carroll et al.			
	5793301	Aug, 1998	Carroll et al.			
	5794210	Aug, 1998	Fitts et al.			
	5794221	Aug, 1998	Egendorf.			
	5796832	Aug, 1998	Kanan.			
	5797002	Aug, 1998	Patterson, Jr. et al.			
	5805167	Sep, 1998	van Cruyningen.			
	5809483	Sep, 1998	DuMont et al.			
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Jnl		5842178	Nov, 1998	Giovannoli.			
↓		5864827	Jan, 1999	Wilson.			
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↓		5911137	Jun, 1999	Hill et al.			
↓		5915245	Jun, 1999	Carroll et al.			
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↓		Natarajan, K.S. "Efficient Group Acknowledgement Scheduling in Wireless Data Links", IBM Technical Disclosure Bulletin, Apr. 1994, pp. 533-534.					
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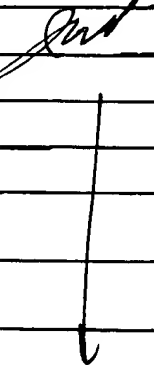
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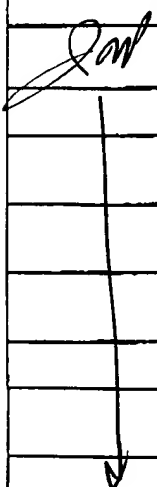
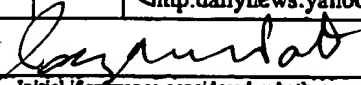
  

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	<p>"New York Stock Exchange Getting Electronic Facelift", Chicago Tribune, Aug. 22, 1994, at Business p. 4.</p> <p>"NYSE Eyes CBOT/CME's Audit", Wall Street Letter, vol. 25, No. 25, Jun. 28, 1993, p. 2.</p> <p>"NYSE Group Pitches Options Hand Held to AMEX, Eyes CBOE", Wall Street Letter, vol. 26, No. 24, Jun. 20, 1994, p. 6.</p> <p>"NYSE Plans to Launch Electronic Trading System", Yahoo News, Nov. 5, 1999 2:41 PM ET &lt;<a href="http://dailynews.yahoo.com/h/nm/19991105/wr/markets_nyse_1.html">http://dailynews.yahoo.com/h/nm/19991105/wr/markets_nyse_1.html</a>&gt;.</p> <p>"NYSE Requests SEC Approval for Wireless Technology", Wall Street Letter, vol. 27, No. 23, Jun. 12, 1995, p. 8.</p> <p>"NYSE Stalled On Choosing Network Integration", Wall Street Letter, vol. 26, No. 40, Oct. 10, 1994, p. 8.</p> <p>"NYSE to Implement Floor-Wide Re-Engineering Scheme", Wall Street Letter, vol. 26, No. 2, Jan. 17, 1994, p. 1.</p> <p>"NYSE to Launch Electronic Trading System", Yahoo News, Nov. 8, 1999 12:36 AM ET &lt;<a href="http://dailynews.yahoo.com/h/nm/19991108/wr/markets_nyse_5.html">http://dailynews.yahoo.com/h/nm/19991108/wr/markets_nyse_5.html</a>&gt;.</p>
Examiner 	Date Considered 12-7-05

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<b>FORM PTO-1449</b>		Attorney Docket: 17209-009		Serial No.: 09/680,771	
<b>INFORMATION DISCLOSURE CITATION</b>		Applicant: Silverman et al.			
		Filing Date: October 6, 2000		Group Art Unit: 3624	









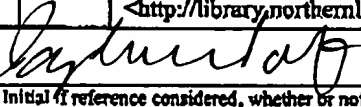
  

U.S. PATENT DOCUMENTS							
Examiner Initial	Patent Number	Issue Date	Name	Class	Sub-Class	Filing Date	

FOREIGN PATENT DOCUMENTS							
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OTHER DOCUMENTS (including Author, Title, Date, etc.)	
<div style="text-align: center;">                </div>	<p>"NYSE to Upgrade Floor Broker Support System This Year", Wall Street Letter, vol. 25, No. 2, Jan. 18, 1993, p. 10.</p> <p>"Pacific Exchange Implements Proxim RangeLAN2 Wireless LAN to Extend Information and Electronic Trading Onto Floor", Proxim (accessed Jul. 19, 1999 10:23 AM ET) &lt;<a href="http://www.proxim.com/solution/finance/pse.shtml">http://www.proxim.com/solution/finance/pse.shtml</a>&gt;.</p> <p>"Papyrus Technology: Institutional Trading for Individual Investors with Clarity", Futures: The Magazine of Commodities &amp; Options, vol. 21, No. 8, Jul. 15, 1992, p. 63.</p> <p>"Patents Awarded to Connecticut Residents", The Hartford Courant, Aug. 2, 1999, at D15.</p> <p>"The PDA Seeks its Fortune", InformationWeek, Jun. 13, 1994, p. 60 &lt;<a href="http://library.northernlight.com/C...17020010823.html?cb=0&amp;dx=1004&amp;sc=0">http://library.northernlight.com/C...17020010823.html?cb=0&amp;dx=1004&amp;sc=0</a>&gt;.</p> <p>"Personal Digital Assistants (PDAs)", NTIS, Aug. 1993 &lt;<a href="http://library.northernlight.com/DG19990402060683778.html?cb=0&amp;sc=0">http://library.northernlight.com/DG19990402060683778.html?cb=0&amp;sc=0</a>&gt;.</p> <p>"Pick a Card, Any Card?", Waters, Winter 1993, pp. 22-25.</p> <p>"Software Still Missing", InformationWeek, Jun. 13, 1994, p. 62 &lt;<a href="http://library.northernlight.com/C...17020010864.html?cb=0&amp;dx=1004&amp;sc=0">http://library.northernlight.com/C...17020010864.html?cb=0&amp;dx=1004&amp;sc=0</a>&gt;.</p>
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<b>OTHER DOCUMENTS (Including Author, Title, Date, etc.)</b>							
↓		"... Soon to be Followed by Coffee, Sugar & Cocoa", Wall Street Letter, Oct. 12, 1992, p. 7.					
↓		"Tiny Terminals are Large Concern in '94 for Amex", Wall Street Letter, vol. 26, No. 2, Jan. 17, 1994, p. 9.					
↓		"Trading Floors/Electronic Trading Systems", City of Bits WWW Team (1995-1997) < <a href="http://mitpress.mit.edu/e-books/Ci...loors Electronic Trading Systems.html">http://mitpress.mit.edu/e-books/Ci...loors Electronic Trading Systems.html</a> >.					
↓		"Two-Dollar Broker Becomes NYSE Member to Ensure Handheld Use", Wall Street Letter, vol. 26, No. 47, Nov. 28, 1994, p. 6.					
↓		"Virtual Managers", InformationWeek, Jun. 13, 1994, p. 42 < <a href="http://library.northernlight.com/C...17020010740.html?cb=0&amp;dx=1004&amp;sc=0">http://library.northernlight.com/C...17020010740.html?cb=0&amp;dx=1004&amp;sc=0</a> >. WLI Forum Web Site < <a href="http://www.wlif.com/">http://www.wlif.com/</a> >.					
↓		"Financial Information Exchange Protocol (FIX)", Jun. 30, 1999, first published Mar. 31, 1999.					
↓		Cover, Robin, "The XML Cover Pages; FIXML--A Markup Language for the FIX Application Message Layer", < <a href="http://www.oasis-open.org/cover/fixml.html">http://www.oasis-open.org/cover/fixml.html</a> >, last modified Mar. 31, 1999.					
↓		Heike Wipperfurth, NYSE catches heat from brokers on surveillance plans Investment Dealers Digest Jul. 6, 1998.*					
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
  

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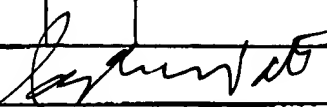
  

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		Peter Chapman, Beyond the Fringe, Traders, Aug. 1, 1999.
		"Jumping on the Info Bus"-McCrigh, John-eWeek Jun. 12, 1998.
		Munford, Christopher, "Chicago's Exchanges Hold Electronic Hands", American Metal Market, Vol. 101, No. 29, Feb. 12, 1993, p. 16

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